

NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

To whom these presents shall come. Greeting:

By virtue of the authority vested in me by the Archivist of the United States, I certify on his behalf, under the seal of the National Archives and Records Administration, that the attached reproduction(s) is a true and correct copy of documents in his custody.



SIGNATURE <i>Theresa Mellon</i>	
NAME THERESA MELLON	DATE 4-3-12
TITLE SUPERVISORY ARCHIVES SPECIALIST	
NAME AND ADDRESS OF DEPOSITORY NARA - Office of Regional Records Services 200 Space Center Drive Lee's Summit, MO 64064	

NA FORM 13040 (10-

Relevant Securities Law Matters

1. The United States Securities and Exchange Commission (the "SEC") is an independent agency of the United States Government charged with the duty of protecting investors by regulating and monitoring the trading of securities, including the conduct of broker-dealers and brokers of securities, in the United States.

2. A central purpose of the federal securities laws is to protect investors from fraud in connection with the purchase and sale of securities. These laws require, among other things, full and truthful disclosure of material facts by public companies and broker-dealers in documents filed with the SEC. One of the practices that the federal securities laws prohibit is "market manipulation," that is, conduct intended to deceive





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NA FORM 13040 (10-86)

Relevant Securities  
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National Archives Trust Fund  
200 Space Center Drive  
Lee's Summit, MO 64131  
(816) 268-8100

Criminal Cases - Entire Case File - Certified  
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TOTAL \$105 00  
Credit Card \$105 00  
2009  
Change Due \$0 00

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OPER: dnadeau SLS: DNADEAU  
DATE: 4/3/2012 TIME: 10:45:08 AM  
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Ready Access to  
Essential Evidence

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UNITED STATES DISTRICT COURT  
EASTERN DISTRICT OF NEW YORK

UNITED STATES OF AMERICA,

JUDGMENT INCLUDING  
SENTENCE FOR OFFENSES  
COMMITTED ON OR AFTER 11-1-87

VS.

CASE NO.: CR 98-1102 (ILG)

SALVATORE LAURIA

ERIC CORNGOLD  
Assistant United States Attorney

FRED GURINO  
Court Reporter

ROBERT STAHL  
Defendant's Attorney

THE DEFENDANT: SALVATORE LAURIA  
XX PLEAD GUILTY TO COUNT 1 OF THE INFORMATION.

Accordingly, the defendant is ADJUDGED guilty of such Count(s), which involve the following offenses:

<u>TITLE AND SECTION</u>	<u>NATURE AND OFFENSE</u>	<u>COUNT NUMBERS</u>
18 USC 1962 (c) and 1963(a)	RACKETEERING	COUNT 1

The defendant is sentenced as provided in pages 2 through 4 of the Judgment. The sentence is imposed pursuant to the Sentencing Reform Act of 1984.

- The defendant has been found not guilty on count(s) and discharged as to such count(s).  
— **Open count in the indictment is dismissed on the motion of the United States.**  
— The mandatory special assessment is included in the portion of Judgment that imposes a fine.  
X **It is ordered that the defendant shall pay to the United States a special assessment of \$100.00 which shall be due immediately.**

It is further **ORDERED** that the defendant shall notify the United States Attorney for this District within 30 days of any change of residence or mailing address until all fines, restitution, costs and special assessments imposed by this Judgment are fully paid.

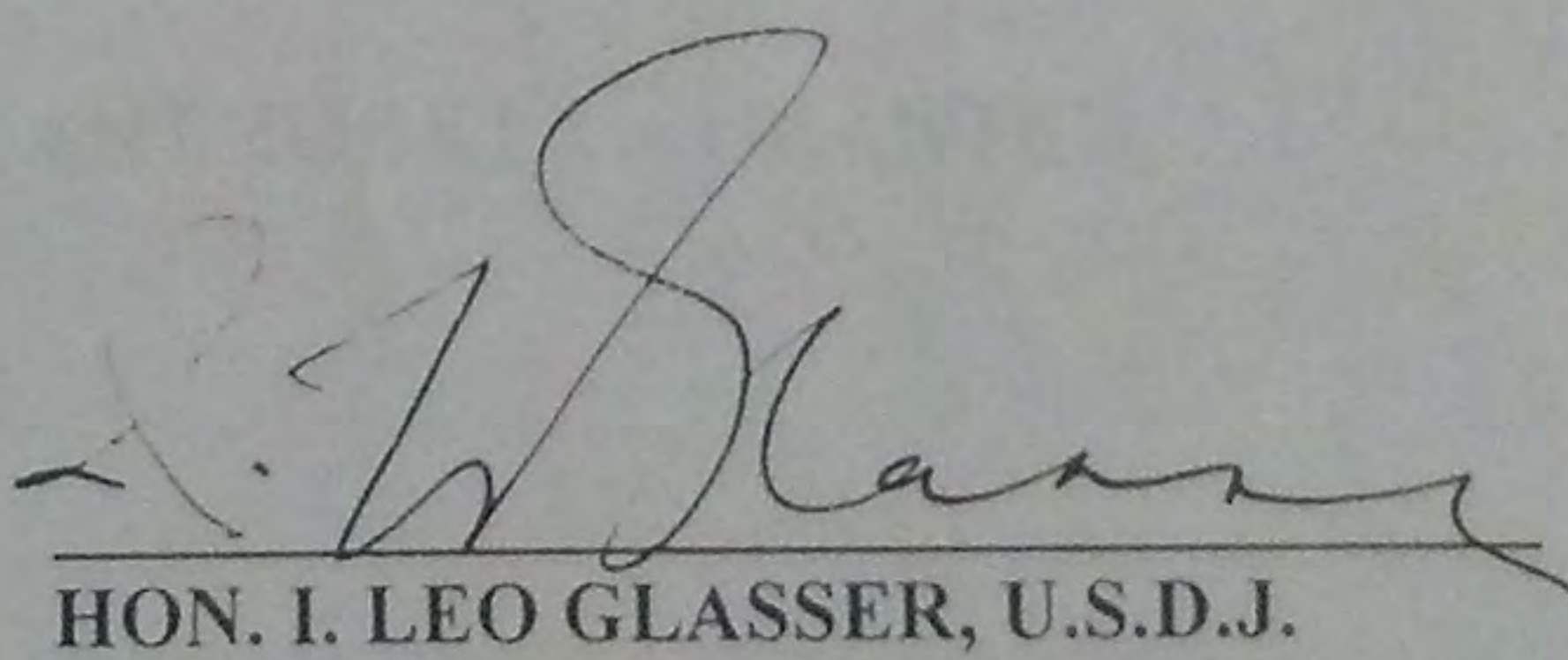
FEBRUARY 5, 2004  
Date of Imposition of Sentence

56695-053  
Defendant's USM #

08/30/62  
Date of Birth

054-62-4508  
Defendant's Soc. Sec. Number

91 GEORGETOWN RD., WESTON CONNECTICUT  
Defendant's mailing address

  
HON. I. LEO GLASSER, U.S.D.J.  
DATE: FEBRUARY 23, 2004

15



DEFENDANT: SALVATORE LAURIA  
NUMBER: CR 98-1102 (ILG)

JUDGMENT-PAGE 2 OF 4

### PROBATION

The defendant is hereby placed on probation for a term of FIVE (5) YEARS ON COUNT 1.

The defendant shall not commit another Federal, State or Local crime.  
The defendant shall not unlawfully possess a controlled substance.

For offenses committed on or after September 13, 1994:

The defendant shall refrain from any unlawful use of a controlled substance. The defendant shall submit to one drug test within 15 days of placement on probation and at least two periodic drug tests thereafter, as directed by the probation officer.

☐ The above drug testing condition is suspended based on the court's determination that the defendant poses a low risk of future substance abuse.

☐ The defendant shall not possess a firearm as defined in 18 U.S.C. Sect. 921.

If this judgment imposes a fine or a restitution obligation, it shall be a condition of probation that the defendant pay any such fine or restitution in accordance with the schedule of payments set forth in the Criminal Monetary Penalties sheet of this judgment.

The defendant shall comply with the standard conditions that have been adopted by this court (set forth in the "Standard Conditions of Supervision" sheet).

The defendant shall comply with the following additional conditions:

THE DEFENDANT TO SERVE 300 HOURS OF COMMUNITY SERVICE

TH DEFENDANT IS TO SERVE 12 MONTHS HOME CONFINEMENT

THE GOVERNMENTS MOTION PURSUANT TO 5K1.1 - GRANTED.



DEFENDANT: SALVATORE LAURIA  
NUMBER: CR 98-1102 (ILG)

JUDGMENT-PAGE 3 OF 4

STANDARD CONDITIONS OF SUPERVISION

While the defendant is on probation or supervised release pursuant to this Judgment:

- 1) The defendant shall not leave the judicial district without the permission of the court or probation officer;
- 2) The defendant shall report to the probation officer as directed by the court or probation officer and shall submit a truthful and complete written report within the first five days of each month;
- 3) The defendant shall answer truthfully all inquiries by the probation officer and follow the instructions of the probation officer;
- 4) The defendant shall support his or her dependents and meet other family responsibilities;
- 5) The defendant shall work regularly at a lawful occupation unless excused by the probation officer for schooling, training or other acceptable reasons;
- 6) The defendant shall notify the probation officer within 10 days prior to any change in residence or employment;
- 7) The defendant shall refrain from excessive use of alcohol and shall not purchase, possess, use, distribute, or administer any narcotic or other controlled substance, or any paraphernalia related to such substances, except as prescribed by a Physician;
- 8) The defendant shall not frequent places where controlled substances are illegally sold, used, distributed, or administered;
- 9) The defendant shall not associate with any persons engaged in criminal activity, and shall not associate with any person convicted of a felony unless granted permission to do so by the probation officer;
- 10) The defendant shall permit a probation officer to visit him or her at any time at home or elsewhere and shall permit confiscation of any contraband observed in plain view of the probation officer;
- 11) The defendant shall notify the probation officer within 72 hours of being arrested or questioned by a law enforcement officer;
- 12) The defendant shall not enter into any agreement to act as an informer or special agent of a law enforcement agency without the permission of the court;
- 13) As directed by the probation officer, the defendant shall notify third parties of risks that may be occasioned by the defendant's criminal record or personal history or characteristics, and shall permit the probation officer to make such notifications and to confirm the defendant's compliance with such notification requirement.



NT: SALVATORE LAURIA  
MBER: CR 98-1102 (ILG)

JUDGMENT-PAGE 4 OF 4

CRIMINAL MONETARY PENALTIES

The defendant shall pay the following total criminal monetary penalties in accordance with the schedule of payments set forth by the court.

<u>COUNT</u>	<u>ASSESSMENT</u>	<u>FINE</u>	<u>RESTITUTION</u>
COUNT 1	\$100.00	\$20,000.00	

-----  
FINE

The above includes costs on incarceration and or supervision in the amount of \_\_\_\_\_  
The defendant shall pay interest on any fine of more than \$2,500.00 unless the fine is paid in full before the fifteenth day after the date of judgment, pursuant to 18 U.S.C. Sect. 3612 (f). All of the payment options may be subject to penalties for default and delinquency pursuant to 18 U.S.C. Sect. 3612 (g).

\_\_\_ The court has determined that the defendant does not have the ability to pay interest and it is ordered that the interest is waived.

\_\_\_ the interest is modified as follows.

-----  
RESTITUTION

\_\_\_ The determination of restitution is deferred in a case brought under Capters 109A, 110, 110A, and 113A of the Title 18 for offenses committed on or after 9/13/1994, until \_\_\_\_\_. an amended judgment in a Criminal case will be entered after such determination.

\_\_\_ The defendant shall make restitution to the following payees in the amounts listed below.

If the defendant makes a partial payment, each payee shall receive an approximately proportional payment unless specified otherwise in the priority order or percentage payment column below.

<u>NAME OF PAYEE</u>	<u>TOTAL AMOUNT LOSS</u>	<u>AMOUNT OF RESTITUTION</u>	<u>INSTALLMENTS</u>
----------------------	------------------------------	----------------------------------	---------------------

TOTALS: \_\_\_\_\_

Findings for the total amount of losses are required under Chapters 109A, 110, 110A, 113A of the Title 18 for offenses committed on or after September 13, 1994.



NAME: SALVATORE LAURIA  
NUMBER: CR-98-1102 (ILG)

STATEMENT OF REASONS

STATEMENT OF REASONS

☐ The court adopts the factual findings and guideline application in the pre sentence report.

OR

☒ The court adopts the factual findings and guideline application in the pre sentence report except

ELIMINATE PARAGRAPH #99 A 3-LEVEL AGGRAVATING ROLE ADJUSTMENT  
PARAGRAPH #101 ADJUSTED OFFENSE LEVEL SHOULD READ 33  
PARAGRAPH #108 COMBINED ADJUSTED OFFENSE LEVEL SHOULD READ 35  
PARAGRAPH #110 TOTAL OFFENSE LEVEL SHOULD READ 32

Guideline Range Determined by the Court:

Total Offense Level: 32

Criminal History Category: II

Imprisonment Range COUNT 1: 135 MONTHS to 168 MONTHS

Supervised Release Range: 2 YEARS to 3 YEARS

Probation Range: 1 YEAR to 5 YEARS

Fine Range: \$ 20,000.00 to \$200,000.00

☐ Fine is waived or is below the guideline range, because of the defendant's inability to pay.

Restitution: \$

☐ Full restitution is not ordered for the following reason(s):

☐ The sentence is within the guideline range, that range does not exceed 24 months, and the court finds no reason to depart from the sentence called for by application of the guidelines.

OR

☐ The sentence is within the guideline range, that range exceeds 24 months, and the sentence is imposed for the following reason(s):

☒ THE SENTENCE DEPARTS FROM THE GUIDELINE RANGE

☒ Upon motion of the government, as a result of defendant's substantial assistance.

GOVERNMENT MOTION PURSUANT TO 5K1.1 - GRANTED.

☐ For the following reason(s):



*Sel case* 21-104  
~~10/16/03~~  
~~12/4/03~~  
**CRIMINAL CAUSE FOR SENTENCING**

GLASSER

DATE: SEPT. 11, 2003 TIME: 10:30 a.m.CASE NUMBER: CR 98-1102

DEFT. NUMBER: \_\_\_\_\_

DEFENDANT: SALVATORE LAURIA☒ Present☐ Not Present☐ In Custody☒ On Bail

ATTORNEY FOR DEFT.:

CHARLES CLAYMANROBERT STAHL☐ C.J.A.☒

Retained

☐ Legal Aid/PDASST. U.S. ATTORNEY: ERIC CORNGOLD+6147

COURTROOM DEPUTY:

TERESA HENRYLOUISE SCHILLAT

INTERPRETER:

N/A

Ext. \_\_\_\_\_

COURT REPORTER/ESR OPERATOR: FRED GURINO

TAPE NUMBER: \_\_\_\_\_

SENTENCE:

5 years PROBATIONDEFT. SENTENCED ON COUNTS: #1

OPEN COUNTS DISMISSED:

☐ On Govt.'s Motion,☐ On Ct.'s Mot.

FINE:

\$20,000

SPECIAL ASSESSMENT:

\$ 100.00

SPECIAL CONDITIONS OF SUPERVISION:

12 months Home Confinement300 hours Community Service\* Right to appeal Sentence

IS SENTENCE STAYED?

☐ Yes

STAYED UNTIL: \_\_\_\_\_

☐ No

[Defts. sentenced to probation/supervised release are to report immediately to the PROBATION DEPT., Room 405, 75 Clinton St., Bklyn., & present 1 copy of this form. The other copy should be sent by the Courtroom Deputy the same day. For remanded defts., the Courtroom Deputy should send both copies to the Prob. Office on the same day as the sentence.]



LAW OFFICES OF

ROBERT G. STAHL, LLC

G. Stahl  
& Federal Bar in N.Y.)

E-mail [STAHL@BELLATLANTIC.NET](mailto:STAHL@BELLATLANTIC.NET)

220 ST. PAUL STREET  
WESTFIELD, NEW JERSEY 07090  
Telephone: 908. 301. 9001  
Facsimile: 908. 301. 9008

PLEASE REPLY TO NEW JERSEY OFFICE

Korey Kerscher Sarokin  
(N.J. & N.Y. Bars)

David S. Fenkel  
(N.J. Bar)

1-11-03  
CLERK'S OFFICE  
I. LEO GLASSER  
U. S. D. J.

New York Office  
437 Madison Avenue, 35<sup>th</sup> Floor  
New York, New York 10017  
Telephone: 212. 556. 3300  
CLERK'S OFFICE  
U.S. DISTRICT COURT, E.D.N.Y.

November 26, 2003

★ DEC 23 2003 ★

BROOKLYN OFFICE

Hon. I. Leo Glasser  
United States District Court  
Eastern District of New York  
U.S. Courthouse  
225 Cadman Plaza East  
Brooklyn, New York 11201

Re: Sentencing Date – United States v. Salvatore Lauria,  
98-CR-1102 (ILG)

Dear Judge Glasser:

This letter is to confirm my conversation with your Deputy Clerk that the sentencing in the above-listed matter has been adjourned with the consent of the United States to February 5, 2003 at 10:00 a.m.

Respectfully submitted,

*R Stahl*

Robert G. Stahl

RGS/ps

cc: AUSA Eric Korngold, EDNY  
Mr. Salvatore Lauria

#14  
Adjourned  
J.L. Glasser  
11/30/03  
12/2/03



U.S. Department of Justice

United States Attorney  
Eastern District of New York

RECEIVED  
4/30/02  
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COURT

EOC:dbp  
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lauria-adj-ltr.wpd

156 Pierrepont Street  
Brooklyn, New York 11201

April 29, 2002

TO BE FILED UNDER SEAL  
BY INTEROFFICE MAIL

The Honorable I. Leo Glasser  
United States District Court  
Eastern District of New York  
225 Cadman Plaza East  
Brooklyn, New York 11201

Re: United States v. Salvatore Lauria and  
Felix Sater, Crim. Docket No. 98-1102 (ILG)

Dear Judge Glasser:

Salvatore Lauria and Felix Sater are scheduled to be sentenced by Your Honor this Wednesday, May 1, 2002. For the reasons set forth below, the government respectfully requests that the sentencings be adjourned to September 17, 2002, at 10:00 a.m.

The defendants pled guilty before Your Honor pursuant to cooperation agreements. The information the defendants can provide with regard to the criminal activities of others has not been exhausted. The government respectfully submits that the interests of justice and judicial economy will be furthered if the defendants' cooperation is exhausted prior to sentencing. Specifically, if the defendants are sentenced after their cooperation is complete, there will be no subsequent need to pursue relief under Fed. R. Crim. P. 35. In addition to conserving resources, this approach will allow the Court the opportunity to impose upon the defendants a single, determinate sentence.

I have spoken by telephone with Your Honor's courtroom deputy, Louise Schillat, who informed me that September 17, 2002, at 10:00 a.m. is convenient for the Court.

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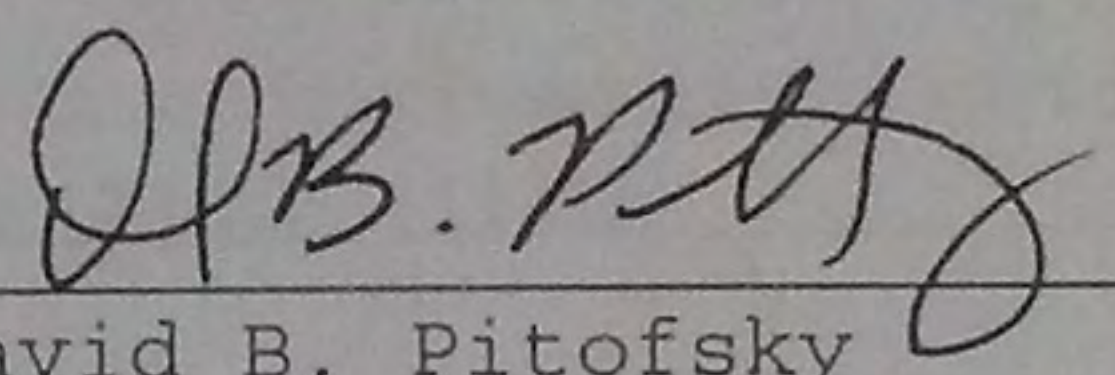
I attempted to reach by telephone today both Robert Stahl, Esq., counsel to defendant Lauria, and Myles Mahlman, Esq., counsel to defendant Sater, to obtain their consent to this request; however, neither attorney was in his office. In any event, both defendants agreed to adjournments of their sentencings, as requested by this Office, as part of their cooperation agreements.

The Court's attention to this scheduling matter is greatly appreciated. Because of the nature of this letter, the government respectfully requests that it be filed under seal.

Respectfully submitted,

ALAN VINEGRAD  
UNITED STATES ATTORNEY

By:

  
David B. Pitofsky  
Assistant U.S. Attorney  
(718) 254-6292

cc: Robert Stahl, Esq.  
(by telecopier 908/301-9008)

Myles Mahlman, Esq.  
(by telecopier 954/322-0064)

*Handwritten:*  
Suggested  
reduced  
1/5/11  
11/5/11

*Handwritten:*  
3/10/11